

## Small, Woman- and Minority-Owned (SWaM) Business Certification

### **Documents Required for All Certification Applicants**

#### **Code of Virginia § 18.2-213.1:**

**A person shall be guilty of a Class 1 misdemeanor if, in the course of business, he willfully makes a false statement knowing it to be untrue, whether by affidavit, report or other representation, to an official or employee of a public body for the purpose of influencing the certification or denial of certification of any business entity as a small, women-owned, or minority-owned business, or disadvantaged business;**

**Please submit the documents in single-sided pages only – No staples. If there are bar codes in your documents, please black them out on the documents.**

1. A copy of Government-issued photo I.D. of the business owner(s): e.g. DMV License, passport.
2. Complete Federal Tax Return from the most recent year
3. Federal Form 941(Employer's Quarterly Federal Tax Return) - 1<sup>st</sup> page only from the most recent four quarters if you are qualifying under the number of employees for small business status

**OR**

Signed Business Federal Income Tax Returns (or the first page of Schedule C) of the past three years if you are qualifying under the gross receipts

4. Owner Title Sheet: [http://www.dmbv.virginia.gov/documents/owner\\_title.doc](http://www.dmbv.virginia.gov/documents/owner_title.doc)
5. Statement of business affiliation or subsidiary organizations if applicable.

New Business that has not yet filed tax return, please submit IRS Employer Identification Number (EIN) Letter, and Company By-laws, articles of incorporation/articles of organization/partnership agreement for Corporation or LLC.

**Franchises** must submit a copy of the Franchise Agreement or any other management, supply or license agreement which allows the use of the brand name of another company (include any agreements for the use of another company name for marketing or supply purposes).

#### **NOTE:**

DMBE reserves the right to request additional supporting documentation or information to provide clarification or substantiation of certain criteria or to resolve any ambiguities or inconsistencies in an application. Documents such as tribal paper, personal checks proving owner's investment in the company, owner's Resume, copies of stock certificates and/or stock ledger may be requested.

Businesses from the following states are not eligible to participate in the Virginia SWaM Program because of Certification restrictions in their home states: Arkansas, California, Connecticut, Florida, Iowa, Louisiana, Minnesota, Mississippi, New Mexico, Ohio, Texas, and Washington, D.C. States such as Arizona and New York have regional restricted certification programs, businesses from these regions are not eligible to participate in the Virginia SWaM Program.

Non-Virginia Businesses should be prepared to send their **Home State certification** as a Small, Woman or Minority owned business.

**Please indicate your company name and the tracking number (you can find it on the front page of your application form) on the additional documents.**

#### **CONFIDENTIALITY**

**Please Note:** under Section 2.2-3705.6(20) of the *Code of Virginia*, trade secrets as defined in the *Uniform Trade Secrets Act* (Section [59.1-336](#) et seq., *Code of Virginia*) or financial records of a business, including balance sheets and financial statements, as part of an application for certification as a small, women- or minority-owned business are exempt from disclosure under the *Virginia Freedom of Information Act* (Section 2.2-3700 et seq.) The business is required to (a) invoke such exclusion upon submission of the data or other materials for which protection from disclosure is sought, (b) identify the data or other materials for which protection is sought, and (c) state the reasons why protection is necessary.